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OMB APPROVAL

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FORM 19b-4(e)

Information Required of a Self-Regulatory Organization Listing and Trading a New Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Exchange Act of 1934

READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM

Part I **Initial Listing Report** 1. Name of Self-Regulatory Organization Listing New Derivative Securities Product: Nasdag Stock Market LLC (traded pursuant to unlisted trading privileges) 2. Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.): **Open End Management Investment Company** 3. Class of New Derivative Securities Product: **Exchange Traded Fund** 4. Name of Underlying Instrument: Actively managed portfolio of securities 5. If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based: Not Applicable 6. Ticker Symbol(s) of New Derivative Securities Product: 7. Market or Markets Upon Which Securities Comprising Underlying Instrument Trades: Listed on: NYSE, OTC 8. Position Limits of New Derivative Securities Product (if applicable): Regular way trades settle on T + 2 (cash settled) 9. Position Limits of New Derivative Securities Product (if applicable): 18010942 N/A Part II Execution The undersigned represents that the governing body of the above-referenced Self-Regulatory Organization has duly approved, or has duly delegated its approval to the undersigned for, the listing and trading of the above-referenced new derivative securities product according to its collection that the procedures, surveillance programs and listing standards. Trading and Markets Name of Official Responsible for Form: William Slattery ncr 23 2018 Title: Vice President Telephone Number: +1 301 9788088 Manyal/Signature of Official/Responsible for Form: Date: October 17, 2018 Segunties Exchange Act of 1934 SEC 2449 (6-01)

Bublic Availability

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